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UNITED STATES PATENT AND TRADEMARK OFFICE  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/892,613	06/27/2001	Shawn Shui-on Leung	655

Albert Wai-Kit Chan  
59-42 Parsons Blvd.  
Flushing, NY 11365-1433

CONFIRMATION NO. 4914

## FORMALITIES LETTER



\*OC000000008418326\*

Date Mailed: 07/09/2002

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#8

Dkt. #655

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : LEUNG, Shawn Shui-on  
U.S. Serial No.: 09/892,613  
Filed : June 27, 2001  
For : REDUCING IMMUNOGENICITIES OF  
IMMUNOGLOBULINS BY FRAMEWORK-PATCHING

Law Offices of Albert Wai-kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, NY 11357

July 22, 2002

U.S. Patent and Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

Sir:

**STATEMENT TO COMPLY WITH REQUIREMENTS FOR  
PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR  
AMINO ACID SEQUENCE DISCLOSURES**

Applicant hereby states that the content of the sequence listing information recorded herewith in computer-readable form is identical to the attached written sequence listing (as disclosed in the new patent application dated June 27, 2001) and includes no new matter, as required by 37 C.F.R. 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

Respectfully submitted,

*Albert Wai Kit Chan*

Albert Wai-Kit Chan  
Registration No. 36,479  
Attorney for Applicant  
Law Offices of  
Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
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I hereby certify that this paper is being deposited this date with the U.S. Postal Service with sufficient postage for first class mail in an envelope addressed to: U.S. Patent and Trademark Office Box Sequence, P.O. Box 2327 Arlington, VA 22202	
<i>Albert Wai Kit Chan</i> Albert Wai-Kit Chan Reg. No. 36,479	<i>7/22/02</i> Date

0360



Dkt. #655

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : LEUNG, Shawn Shui-on  
U.S. Serial No.: 09/892,613  
Filed : June 27, 2001  
For : REDUCING IMMUNOGENICITIES OF  
IMMUNOGLOBULINS BY FRAMEWORK-PATCHING

Law Offices of Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, NY 11357

July 22, 2002

U.S. Patent and Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

Sir:

**COMMUNICATION IN RESPONSE TO JULY 9, 2002 NOTICE TO COMPLY  
WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

This Communication is submitted in response to the July 9, 2002 Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (**Exhibit A**). The deadline for filing this Communication and the attached items is September 9, 2002. Therefore, this Communication is being timely filed.

Applicant was noted by the July 9, 2002 Notice that the Computer readable form that has been filed with his application on May 21, 2002 has been found damaged as indicated on the CRF Diskette Problem Report.

Applicant hereby submits a substitute copy of the Sequence Listing in computer-readable form as required by 37 C.F.R. 1.821(e) (**Exhibit C** and a **floppy disk**). Applicant hereby states in the attached Statement to Comply with Requirements

Applicant . LEUNG, Shawn Shui-on  
U.S. Serial No.: 09/892,613  
Filed : June 27, 2001  
Date : July 22, 2002  
Page : 2

for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (**Exhibit B**) that the content of the sequence listing information recorded in computer-readable form is identical to the written sequence listing and includes no new matter, as required by 37 C.F.R. 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

Applicant believes that the application now is in compliance of all sequence listing requirements and respectfully requests that the Examiner to whom this application is assigned render substantive Office Action.

If a telephone interview would be of assistance in advancing prosecution of the subject application, Applicant's undersigned attorney invites the Examiner to telephone him at the number provided below.

No fee is deemed necessary in connection with the filing of this Communication. However, if any additional fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 50-1891.

Respectfully submitted,

*Albert Wai Kit Chan*

Albert Wai-Kit Chan  
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I hereby certify that this paper is being deposited this date with the U.S. Postal Service with sufficient postage for first class mail in an envelope addressed to:  
U.S. Patent and Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

*Albert Wai Kit Chan* 7/22/02  
Albert Wai-Kit Chan Date  
Reg. No. 36,479

**CRF Problem Report**

The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 09/892,638

Filing Date: 06/27/2001

Date Processed by STIC: 6/14/02

STIC Contact: Mark Spencer, 703-308-4212

**Nature of Problem:**

The CRF (was):

- ☒ (circle one) Damaged or Unreadable (for Unreadable, see attached)  
☐ Blank (no files on CRF) (see attached)  
☐ Empty file (filename present, but no bytes in file) (see attached)  
☐ Virus-infected. Virus name: \_\_\_\_\_ The STIC will not process the CRF.  
☐ Not saved in ASCII text  
☐ Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should only be the Sequence Listing.  
☐ Did not contain a Sequence Listing. (see attached sample)  
☐ Other: \_\_\_\_\_

**PLEASE USE THE CHECKER VERSION 3.1 PROGRAM TO REDUCE ERRORS.  
SEE BELOW FOR ADDRESS:**

<http://www.uspto.gov/web/offices/pac/checker>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail.

Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/efb/efs/downloads/documents.htm>), EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:  
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7<sup>th</sup> Floor, Examiner Name, Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202  
Or  
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002.